

**NOTICE TO SUB-CONTRACTORS
FOR THE FOLLOWING SPECIALTY TRADES:**

**MECHANICAL SYSTEMS
PLUMBING SYSTEMS
ELECTRICAL SYSTEMS
ELECTRONIC SECURITY SYSTEMS**

**FOR PRE-QUALIFICATION OF SUB-CONTRACTORS
SEEKING TO BID ON THE**



**San Luis Obispo County Juvenile Hall Expansion
Project No 320032
San Luis Obispo County, California**

RSOQ #1213-13

April 2, 2013

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**NOTIFICATION OF PRE-QUALIFICATION OF
SUB-BUILDING CONTRACTORS
Seeking to Bid on the
County of San Luis Obispo
Juvenile Hall Expansion, #320032
1065 Kansas Avenue, San Luis Obispo, CA**

NOTICE IS HEREBY GIVEN that the County has determined that Sub-Contractors of specific specialty trades who intend to bid on the Juvenile Hall Expansion Project must be pre-qualified prior to be able to participate in the bidding process for this project. The Pre-qualification Evaluation is solely for the purpose of determining which Sub-Contractors of specialty trades are deemed qualified to participate in the successful performance of the construction of the Juvenile Hall Expansion Project in a timely manner. The act of providing a Pre-qualification submittal does not, in itself, guarantee the pre-qualification will be granted or that Sub-Contractor will receive a contract in connection with the Juvenile Hall Expansion Project.

The County of San Luis Obispo ("County") seeks to pre-qualify Sub-Contractor firms ("Sub-Contractor") of the following specialty trades: Mechanical (C20 License), Plumbing (C36 License), Electrical (C10 License), and Low Voltage - Electronic Security Systems (C7 License) for the construction of the Juvenile Hall Expansion Project, and now invites sealed Pre-qualification Applications.

The specialty trades which must be pre-qualified are as follows:

- Plumbing Systems (CA Class C36, contractor's license)
- Electrical Systems (CA Class C10 contractor's license)
- Low Voltage - Electronic Security Systems (CA Class C7 contractor's license)
- Mechanical Systems (CA Class C20 contractor's license)

Only Sub-Contractors with the required contractor's license that have been determined to be qualified under this process will be allowed to bid on the Juvenile Hall Expansion Project.

The engineer's estimate for this Juvenile Hall Expansion Project is **\$12,300,000**. The project is an expansion of the existing 45 bed Juvenile hall facility located at 1065 Kansas Avenue North of the city of San Luis Obispo. The project is approximately 23,400 square feet, and includes the construction of a 20 to 30 bed detention housing unit, class rooms, gymnasium, support offices, and site improvements.

The Pre-qualification Process will include the submittal by Sub-Contractors of completed Pre-qualification Documents within the prescribed deadline and the County's evaluation of Pre-qualification Document responses based on a list of Scorable Questions and Scoring Ranges. **Only pre-qualified Sub-Contractors will be eligible to participate in the bidding process with the pre-qualified General Contractors.**

The County is concurrently in the process of pre-qualifying General Contractors. In the event a sub-contractor desires to qualify for more than one specialty trade, the sub-contractor must submit a pre-qualification application for each specialty trade and must be separately pre-qualified to self-perform each specialty trade. In the event a sub-contractor desires to pre-qualify for this project as a General Contractor and wishes to self-perform one or more of the specialty trades listed above, the sub-contractor must also submit a pre-qualification application as a General Contractor and for that specialty trade and must be separately pre-qualified to self-perform that specialty trade. General Contractors that wish to use particular sub-contractors for a specialty trade listed above need to notify those sub-contractors of the pre-qualification application process.

SUBMISSION OF PRE-QUALIFICATION APPLICATIONS

On **TBD** , Pre-qualification Applications will be available to interested Sub-Contractors and may be obtained from the General Services Agency receptionist at 1087 Santa Rosa, San Luis Obispo, CA, (805) 781-5200 and is posted on the County's Purchasing website at:

www.slocounty.ca.gov/GSA/Purchasing/Current_Formal_Bids_and_Proposals.htm

Any changes, additions, deletions, clarifications to this application process will be the form of a written addendum issued by the County. **Addendums shall be posted on the website. Sub-contractors must check the website for Addendums or other relevant information during the response period.** All addendums become a part of this application request. The County is not responsible for the failure of any prospective applicant to receive such addendum and information issued during the response period. It is solely the responsibility of each sub-contractor to ensure that they receive any and all addenda.

Requests for Clarification of the process or the documents must be in writing and submitted by mail or email to the project manager listed below, no later than 5:00 p.m. (PST), **TBD** . The County reserves the right to determine the appropriateness of the comments/questions that will be posted on the Website.

Kathy Mac Neill, Architectural Services
c/o County of San Luis Obispo, General Services Agency
1087 Santa Rosa, San Luis Obispo, CA 93408
(805) 781-5200, kmacneill@co.slo.ca.us

Applications must be received by **3:00 p.m. (PST) on TBD** at the above address. No fax or e-mail copies will be accepted. Submit one (1) original application, one (1) hard copy of the original application, and one (1) electronic copy of the original application to:

County of San Luis Obispo, General Services Agency
Debbie Belt, GSA Purchasing
1087 Santa Rosa, San Luis Obispo, CA 93408
(805) 781-5200, dbelt@co.slo.ca.us

Submit applications to Purchasing agent above in sealed envelopes, and clearly mark on the sealed envelopes the following:

CONFIDENTIAL: Pre-Qualification Application #1213-13
Sub-Contractor – "Specify the Specific Trade(s) You are Applying For"
JUVENILE HALL EXPANSION PROJECT, # 320032
Sub-contractor Business Name
Business Address

It is **mandatory** that all Sub-Contractors who intend to submit a bid for the Juvenile Hall Expansion Project fully complete the Pre-qualification Questionnaire, provide all materials requested therein, and be found acceptable by a County appointed evaluation committee in order to be placed on the pre-qualified bidders list. No bid will be accepted from a Sub-Contractor that has failed to comply with these requirements.

APPLICATION FOR PRE-QUALIFICATION OF SUB-CONTRACTORS

Seeking to Bid
San Luis Obispo County Juvenile Hall Expansion, #320032
1065 Kansas Avenue, San Luis Obispo, CA

Qualification Process Administered by
COUNTY OF SAN LUIS OBISPO, GENERAL SERVICES AGENCY
1087 Santa Rosa Street, San Luis Obispo, CA. 93408

The following Application for Pre-qualification (AFP) document is distributed with the intent to pre-qualify sub-contractors for construction of the Juvenile Hall Expansion (Project).

The proposed Project is located at 1065 Kansas Avenue, San Luis Obispo at the County Operational Center. The Project is an expansion to an existing youth detention facility. The project includes the construction of three new buildings and an exterior covered walkway providing approximately 23,400 square feet of new housing, classrooms, mental health office, counseling/interview rooms, training/conference rooms, indoor multi-purpose/recreational, administrative/teachers office space, recreational yard. In addition, there will be drainage improvements, retaining walls, security and access control systems, a fire access road, and security fencing. The engineer's estimate for the Juvenile Hall Expansion Project is **\$12,300,000**.

The project is primarily funded under the State SB81 Youth Offender Rehabilitation Program. Your firm is invited to review the AFP and respond to all items. Your responses will enable the County of San Luis Obispo to pre-select general building contractors to bid on the Project based on experience and qualifications. Upon receipt, the AFP will be opened and evaluated by the County, resulting in a list of general contractors deemed qualified to bid on the Project.

The specialty trades which must be pre-qualified are as follows:

- **Construction of Plumbing Systems** (requires current and active CA Class C36 contractor's license). Construction includes, but is not limited to, the furnishing and installation of interior and site plumbing, fixtures, and plumbing controls in a Class I-3 occupancy.
- **Construction of Electrical Systems** (requires current and active CA Class C10 contractor's license). Construction includes, but is not limited to, the furnishing and installation of electrical power, low-voltage transformers and switchgear, emergency generators, transfer switches, exterior lighting, interior lighting and network lighting controls for a Class I-3 occupancy.
- **Construction of Low Voltage - Electronic Security Systems** (requires current and active CA Class C7 contractor's license) as it relates to, including, but is not limited to, the furnishing and installation of the door/gate control and alarm monitoring, duress alarm, video surveillance (CCTV), programmable logic controllers, intercom and public address, and all software development/PLC programming for security and related system integration for a Class I-3 occupancy.
- **Construction of Mechanical Systems** (requires current and active CA Class C20 contractor's license). Construction includes, but is not limited to the furnishing and installation of metal and non-metal ducts, power ventilators, air terminal units, air-handling units, air distribution controls, and split-system air-conditioners, smoke control systems for a class I-3 occupancy.

Applications for Prequalification are DUE by 3:00 p.m. (PST) on TBD . No fax or e-mail copies will be accepted. Submittals received after the specified time and date will not be considered and will be returned unopened to the sender. **THIS SUBMISSION DEADLINE WILL BE STRICTLY ENFORCED.**

See Notification Announcement for further information.

SECTION 1: GENERAL INSTRUCTIONS AND INFORMATION

A. General Information

This Pre-qualification to bid the **San Luis Obispo County Juvenile Hall Expansion Project**, located at **1065 Kansas Avenue, San Luis Obispo, California**, is required regardless of and in addition to any pre-qualification for County of San Luis Obispo work which a sub-contractor may already have on file. Pre-qualification by County of San Luis Obispo, for this Project shall remain valid until the contract for construction is awarded or until responding firms are notified in writing by the County in the unexpected event that no construction contract is awarded. It is mandatory that all Sub-contractors who intend to submit a bid fully complete the pre-qualification questionnaire, provide all materials requested, and be approved by San Luis Obispo County to be on the final qualified Bidders list. No bid will be accepted from a Sub-contractor that has failed to comply with these requirements.

NOTES:

1. Joint Venture Firms shall submit one application and provide financial information and attachments for both firms and must individually meet the conditions of Part II Essential Requirements for Qualification and Part III B – organization History, Performance, and compliance with Civil and Criminal Laws.

2. Limited Liability Corporations (LLC) will be required to comply with a Guaranty of Obligations. Answers to questions contained in the attached questionnaire, information about current bonding capacity, notarized statement from surety, and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information are required. San Luis Obispo County will use these documents as the basis of rating Sub-contractors in respect to the size and scope of contracts upon which each Sub-contractor is qualified to bid. San Luis Obispo County reserves the right to check other sources available. San Luis Obispo County's decision will be based on objective evaluation criteria. San Luis Obispo County reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequently learned information. Sub-contractors, whose rating changes sufficient to disqualify them will be notified, and given an opportunity for a hearing consistent with the hearing procedures described below for appealing a pre-qualification rating. While it is the intent of the pre-qualification questionnaire and required documents to assist San Luis Obispo County in determining bidder responsibility prior to bid and to aid San Luis Obispo County in selecting the lowest responsible bidder, neither the fact of pre-qualification, nor any pre-qualification rating, will preclude San Luis Obispo County from a post-bid consideration and determination of whether a bidder has the quality, fitness, capacity and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness to be awarded a contract pursuant to California Public Contract Code.

B. Data Required

All portions of Application for Pre-qualification Parts I through VI, should be completed, with additional information attached if the space provided does not suffice. Failure to include the information called for may result in disqualification. It is essential that construction experience of the sub-contractor be demonstrated, as such experience is considered in establishing pre-qualification.

NOTE: The pre-qualification packages (questionnaire answers and financial statements) submitted by Sub-contractors are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. See Public

Disclosure and Privacy Section. However, the contents may be disclosed to third parties for purpose of verification, or investigation of substantial allegations, or in the appeal hearing. State law requires that the names of sub-contractors applying for pre-qualification status shall be public records subject to disclosure, and the first page of the questionnaire will be used for that purpose.

Each affidavit and certification form must be signed under penalty of perjury in the manner designated at the end of the form, by an individual who has the legal authority to bind the Sub-contractor on whose behalf that person is signing. If any information provided by a Sub-contractor becomes inaccurate, the Sub-contractor must immediately notify San Luis Obispo County and provide updated accurate information in writing, under penalty of perjury.

Sub-contractors shall submit pre-qualification packages during regular working hours on any day that the San Luis Obispo County, General Services Agency offices are open, up to the deadline of 3:00 PM, local time, TBD . San Luis Obispo County may refuse to grant pre-qualification where the requested information and materials are not provided by the submittal deadline. There is no appeal from a refusal for an incomplete or late application. The closing time for applications will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

All documents submitted to the County in response to this RSOQ will become the exclusive property of the County and may be returned to the proposer or kept by the County, in the County's sole discretion

C. Current Financial Information

Sub-Contractor shall provide a complete financial statement indicating organization's financial condition. Financial statements provided by sub-contractors shall not be older than six (6) months prior to the date of filing this Pre-qualification Application. The financial statements are to be reviewed and audited, and submitted with any accompanying notes and supplemental information. The County of San Luis Obispo reserves the right to reject financial statements in which the financial condition reported is of a date six (6) months or more prior to the date of filing.

D. Accountant's Certificate and Supplemental Financial Information

The financial statements submitted by the Sub-contractor must be audited or reviewed by a Certified Public Accountant (CPA). The CPA should submit a copy of his/her current license as proof of the accountant's qualifications to issue reviewed or audited financial statements. The license shall be signed and shall indicate the license/certificate number.

Bearing in mind that working capital is an important factor in determining the prequalification of the sub-contractor, the accountant will perform a valuable service for their client and at the same time assist the County, if they will furnish supplemental schedules to provide any information not specifically called for by the statement which in their opinion might be taken into consideration. In the event that the sub-contractor's job income and expenditures are accounted for on a completed contract basis and the balance sheet includes an item reflecting the excess of costs to date over billings to date, or vice versa, the elements of "Accumulated Costs" and "Billings to Date" must be shown in support of the balance sheet item.

E. Affidavits

The appropriate affidavits (in Section IV, Part 1) must be completely executed or the statement will be disqualified.

F. Questions

Sub-Contractors are required to submit any questions in writing no later than 5:00 PM, local time, TBD. No other questions will be received after deadline. Only written inquiries will be permitted. Questions must be submitted in writing, by mail, email or hand delivered to the Project Manager:

Kathy Mac Neill
c/o County of San Luis Obispo,
General Services Agency
1087 Santa Rosa Street
San Luis Obispo, California 93408

Email: kmacneill@co.slo.ca.us
Phone No: 805-781-5200

Only written inquiries will be responded to. Under no circumstance are any prospective sub-contractors or anyone receiving the Application for Pre-qualification, to contact, discuss with, or inquire of any County consultant, employee, or elected official on any matter relating to this solicitation process. This requirement is to ensure that the same information is communicated to all parties and that no inconsistent, incomplete, or inaccurate information is transmitted separately.

G. County of San Luis Obispo Rights

The County reserves the right to waive minor irregularities and omissions in the information contained in the Pre-qualification Application submitted, and to make all final determinations. The County also reserves the right to terminate this Pre-qualification Process at any time.

The County may refuse to grant pre-qualification where the requested information and materials are not provided, or not provided by the date specified above. There is no appeal from a refusal to grant pre-qualification for an incomplete or late application. The closing time for the submission of Pre-qualification Applications will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

The County reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequent learned information. A Subcontractor that is pre-qualified may take out bidding documents and submit a bid for the Juvenile Hall Expansion (Project) to the pre-qualified Contractors. A Sub-contractor that is not pre-qualified is not eligible to submit a bid as a Sub-contractor for a specified specialty trade. While it is the intent of the Pre-qualification Documents to assist the County in determining bidder responsibility prior to bid and to aid it in selection of the lowest responsible bidder, the pre-qualification will not preclude the County from conducting a post-bid evaluation of whether a bidder: (a) has the quality, fitness, experience, competency, capability and demonstrates the requisite trustworthiness to complete a project of this type, (b) has key personnel with sufficient expertise and training to competently manage and complete the construction of the project; and (c) has the financial capacity to perform and complete the project. Sub-contractors whose rating changes sufficiently to disqualify them will

be notified and given an opportunity for a hearing consistent with the hearing procedures described for appealing a pre-qualification rating.

H. Appeal Rights

Where a timely and completed application results in a rating below that necessary to pre-qualify, an appeal can be made. An appeal is initiated by the Sub-contractor delivering notice to San Luis Obispo County of Contractor's appeal of the decision with respect to its pre-qualification rating, **no later than ten business days** following the date of written notification from San Luis Obispo County that the Sub-contractor does not meet the rating established by San Luis Obispo County. Without a timely appeal, the Sub-contractor waives any and all rights to challenge the decision of San Luis Obispo County, whether by administrative process, judicial process or any other legal process or proceeding. If the Contractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than ten (10) business days after San Luis Obispo County's receipt of the notice of appeal. The hearing shall be an informal process conducted by an Appeals Panel to which the County Administrator's Office has delegated responsibility to hear such appeals. At or prior to the hearing, the Sub-contractor will be advised of the basis for San Luis Obispo County's pre-qualification determination. The Sub-contractor will be given the opportunity to present information and present reasons in opposition to the rating. Within one day after the conclusion of the hearing, the Appeals Panel will render its decision which shall be final and not subject to further appeal. It is the intention of San Luis Obispo County that the date for the submission and opening of bids will not be delayed or postponed to allow for completion of an appeal process.

Note: A Sub-contractor may be found not pre-qualified for bidding on the aforementioned specific Juvenile Hall Expansion project to be let by San Luis Obispo County until the sub-contractor meets San Luis Obispo County's requirements. In addition, a sub-contractor may be found not pre-qualified for either:

- (1) Omission of requested information or
- (2) Falsification of information

I. Minimum Bonding Requirements – OMIT SECTION

J. Public Disclosure and Privacy

The County policy for public disclosure and privacy is as follows:

Under the provisions of the California Public Records Act (the "Act"), Government Code section 6252 et seq., all "public records" (as defined in the Act) of a local agency, such as the County, must be available for inspection and copying upon the request of any person. Under the Act, the County may be obligated to provide a copy of any and all responses to this Request for Statement of Qualification, if such requests are made after the pre-qualification process is completed. **One exception to this required disclosure is information which fits within the definition of a confidential trade secret [Government Code section 6254(k)] or contains other technical, financial or other data whose public disclosure could cause injury to the proposer's competitive position.** If any proposer believes that information contained in its response to this Request for Proposal should be protected from disclosure, the proposer **MUST** specifically identify the pages of the response that contains the information by properly marking the applicable pages and inserting the following notice in the front of its response:

NOTICE: *The data on pages _ of this response identified by an asterisk (*) contain technical or financial information, which are trade secrets, or information for which disclosure would result in substantial injury to the proposer's competitive position. Proposer requests that such data be used only for the evaluation of the response, but understands that the disclosure will be limited to the extent the County considers proper under the law. If an agreement is entered into with the proposer, the County shall have the right to use or disclose the data as provided in the agreement, unless otherwise obligated by law.*

The County will not honor any attempt by proposer to designate its entire proposal as proprietary. If there is any dispute, lawsuit, claim or demand as to whether information within the response to the Request for Proposal is protected from disclosure under the Act, proposer shall indemnify, defend, and hold harmless, the County arising out of such dispute, lawsuit, claim or demand.

SECTION 2: PROJECT OVERVIEW

A. Project Location

The project is located at the existing San Luis Obispo County at 1065 Kansas Avenue, San Luis Obispo, San Luis Obispo County, California. The project delivery method for Juvenile Hall Expansion project will be through a single prime contract awarded through a Lump Sum bid package. The Project is expected to bid in September 2013. The County's estimate of probable construction costs is \$12,300,000 and the estimated construction duration is 20 months.

B. Project Description

The Juvenile Hall Expansion project will be administered under the State of California's Senate Bill No. 81 (SB81) Program, which is authorized under the State of California Youth and Criminal Law: 2007 Juvenile Justice Reform and Gang Prevention Initiatives. The law authorizes the issuance of state funded lease-revenue bond financing for construction or expansion of County Juvenile facilities in California.

This project is an expansion to the existing County Juvenile Hall located on approximately 2 acres of 10.7 acres of county owned land. The project will construct three new buildings and an exterior covered walkway providing approximately 23,400 square feet of additional new housing, recreation yard, classrooms, mental health office, counseling rooms, training/conference rooms, indoor multi-purpose/recreation, and administrative/teachers office space.

The new maximum security housing facility will be a single story building with approximately 8,586 square feet of living space, with 20 single occupancy sleeping rooms. This new housing wing will also include a large day room to be used for eating meals and activities, and two counseling interview rooms. Adjacent to this housing facility will be a new outdoor recreation yard approximately 6,800 square feet. The project will also include a bid alternate for an additional 10 single occupancy sleeping rooms within the proposed footprint of the housing facility.

The academics/administration building will be a two-story building of approximately 9,824 square feet. This building will contain administration and staff support areas; classrooms, teachers conference room; and mental health office space.

A multi-purpose/recreation facility will be a single story building with approximately 5,000 square feet of space with a bid alternate to increase the building to 5680 square feet. This building will be accessible from the other buildings via an exterior covered walkway and will serve as an indoor large muscle exercise multipurpose gymnasium. The gymnasium will allow daily physical education when it is raining or there is other inclement weather.

This project will include, but is not limited to, electrical; lighting; energy management and savings systems; plumbing; mechanical; heating, ventilation, and air conditioning; security; digital cameras; and fire protection systems. The buildings will be constructed of steel, masonry and concrete. In addition, there will be a detention basin and drainage improvements, retaining walls, security systems, a fire access road, and security fencing with lighting surrounding the facility.

Construction Plans

A subset of the Juvenile Hall Expansion Plans is available for viewing and downloading from the web site. Some plans are not included for security purposes and others due to excessive file size. Plans are for reference purposes only (Not for Construction). Plans can be downloaded from:

TBD

These plans are also available thru ASAP Reprographics in San Luis Obispo at Sub-contractor's own expense (805-543-3144 or www.asapreprographics.com/contact/)

Contractor Project Milestone Schedule

The County currently anticipates conducting the procurement of the Juvenile Hall Expansion Project in accordance with the following milestones, leading to award of a construction contract. This schedule is subject to revision and the County reserves the right to modify this schedule as it finds necessary.

Issue Application for Pre-qualification	May 2013
Deadline for Questions	June 2013
<i>PRE-QUALIFICATION APPLICATION DUE</i>	June 2013
Selection of pre-qualified Contractors	July/August 2013
Issue of Bid Documents	September 2013
Bids Due	November 2013
Contract Award/Notice to Proceed	January/February 2014
Project Substantial Completion	August 2015

SECTION 3: EVALUATION CRITERIA

A. General: The County intends to utilize the Department of Industrial Relations, Model Forms for Pre-qualification, suggested scoring method for scorable questions. The scoring of the recent construction projects will be based on the submitted comparable projects that meet as many of the following components as possible:

- Facilities of approximately 20,000 gross square footage, and with total construction costs of at least \$10,000,000.
- Large, complex, detention/correctional, military, justice, hospital, or other applicable secure campus facilities.
- Projects with complex interrelated building systems such as security monitoring and alarm, building and energy management, telecommunications, data distribution and other related subsystems.
- Projects requiring completion of the project in phases, allowing owner occupancy of portion of completed phase(s) prior to final completion of whole project.
- Projects requiring work in adjacent existing site/facility that remains occupied and operational, while new work including utilities, site features, security, building and energy management, and telephone/data systems are constructed and connected to the existing facility.
- Projects with environmental mitigation and monitoring.

B. Qualifications will include:

- Evaluation and verification of Sub-Contractor's or entity's current ability and history to secure Liability and Workers' Compensation insurance
- Evidence and history of proper licensing
- Ability to secure required bonding
- Financial ability
- History of litigation and claims; or other adverse actions
- Safety record

C. Experience to be evaluated will include:

- History of firm/entity
- Organization of firm/entity
- Relevant experience of firm/entity
- Proposed management team for Project and proposed key personnel
- Experience of proposed key personnel to be assigned to Project
- Firm's/entity's experience in successfully completing public works projects of similar size, scope and complexity
- Experience with California public projects

Firm Name: _____

SECTION 4: APPLICATION FOR PRE-QUALIFICATION

An Interactive PDF for Section 4 is provided on the bid site and sub-contractors may choose to use all or part of this form in their submittals. Prior to submittal of hard copies printed from the interactive PDF, sub-contractor is responsible for ensuring all information entered is shown on the hard copies.

Firm Name: _____

Sub-Contractor Specialty Trade(s):

- ☐ Plumbing Systems (C36)
- ☐ Electrical Systems (C10)
- ☐ Low Voltage - Electronic Security Systems (C7)
- ☐ Mechanical Systems (C20)

The specific documents that must be submitted and attached are:

Part I – Organization Information and Affidavit

Part II – Essential Requirements for Qualification

Part III – Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws

Part IV – Organization's Recent Construction Projects

Part V – Organization's Financial Statements, and Insurance Requirements

Part VI – Attachments Required

Firm Name: _____

PART I. ORGANIZATION INFORMATION and AFFIDAVIT

The following documents, Pre-qualification Application, Parts I through VI, are to be filed with the County of San Luis Obispo by the Organization requesting Pre-qualification, in accordance with the Public Contract Code, for the aforementioned Project:

Firm Name: _____

Check One:

☐ Corporation (as it appears on license)

☐ Partnership

☐ Sole Prop

☐ Joint Venture (each organization to submit separately sections Part II and Part III B)

Contact Person: _____

Address: _____

Phone: _____ Fax: _____

E-Mail: _____

If firm is a sole proprietor or partnership:

Owner(s) of Company: _____

Contractor's License Number(s) Classification(s), expiration date(s): _____

AFFIDAVIT

I, the undersigned, certify and declare that I have read all the foregoing answers to this pre-qualification questionnaire and know their contents. The matters stated in the questionnaire answers are true of my own knowledge and belief, except as to those matters stated on information and belief, and as to those matters I believe them to be true. I declare under penalty of perjury under the laws of the State of California, that the foregoing is correct.

Dated: _____

(Authorized Signature)

(Printed name and title)

Firm Name: _____

PART II. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

Sub-contractor will be immediately disqualified if “no” is the answer to any of questions 1 through 5.

1. Sub-contractor possesses a valid and current California Contractor’s license specified for this Application.

☐ Yes ☐ No (Disqualification)

2. Sub-contractor has a liability insurance policy with a policy limit of at least \$1,000,000 per occurrence \$5,000,000 aggregate.

☐ Yes ☐ No (Disqualification)

3. Sub-contractor has current workers’ compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.

☐ Yes ☐ No (Disqualification)

☐ Sub-contractor is exempt from this requirement because it has no employees

4. Have you attached a copy of our most recent reviewed or audited financial statement with accompanying notes and supplemental information?

☐ Yes ☐ No (Disqualification*)

** Public Contract Code Section 20101(e) exempts from this requirement a sub-contractor who has qualified as a Small Business Administration entity pursuant to Government Code Section 14837(d)(1), when the bid is “no more than 25 percent of the qualifying amount provided” in Government Code Section 14837(d)(1). A “no” answer will not be disqualifying if this exemption applies to the sub-contractor.*

NOTE: A financial statement must either be reviewed or audited to be considered acceptable. A letter verifying availability of a line of credit may also be attached; however, it will be considered as supplemental information only, and is not a substitute for the required financial statement.

5. OMIT QUESTION

Sub-contractor will be immediately disqualified if “yes” is the answer to any of questions 6 through 9.

- A Sub-contractor disqualified solely because of a “Yes” answer given to question 6, or 9 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.*
- If the answer to question 8 is “yes” and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.*

6. Has your Contractor’s license been revoked at any time in the last five years?

☐ Yes (Disqualification) ☐ No

Firm Name: _____

7. OMIT QUESTION

8. At the time of submitting this pre-qualification form, is your firm ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

☐ Yes (Disqualification) ☐ No

If the answer is "Yes," state the beginning and ending dates of the period of debarment: _____

9. At any time during the last five years, has your firm or any of its owners or officers been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?

☐ Yes (Disqualification) ☐ No

Firm Name: _____

**PART III. ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE,
COMPLIANCE WITH CIVIL AND CRIMINAL LAWS**

A. Current Organization and Structure of the Business

☐ **For Firms That Are Corporations:**

- 1a. Date incorporated: _____
1b. Under the laws of what state: _____
1c. Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, and treasurer), or (b) the owner of at least ten per cent of the corporation's stock.

Name	Position	Years with Co.	% Ownership

- 1d. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, "owner" and "partner" refer to ownership of ten percent or more of the business, or 10 percent or more of its stock, if the business is a corporation.

Person's Name	Construction Firm	Dates of Person's Participation with Firm

☐ **For Firms That Intend to Make a Bid as Part of a Joint Venture:**

- 1a. Date of commencement of joint venture: _____
1b. Provide all of the following information for each firm that is a member of the joint venture that expects to submit an application.

Name of Firm	% Ownership of Joint Venture

Firm Name: _____

☐ **For Firms That Are Sole Proprietorships:**

- 1a. Name of business owner: _____
1b. Date of commencement of business: _____
1c. Social security number of company owner: _____
1d. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

Company	Position	Years with Co.	% Ownership

☐ **For Firms That Are Partnerships:**

- 1a. Date of formation: _____
1b. Under the laws of what state: _____
1c. Provide all the following information for each partner who owns 10 percent or more of the firm.

Name	Position	Years with Co.	% Ownership

- 1d. Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

Person's Name	Construction Firm	Dates of Person's Participation with Firm

Firm Name: _____

B. History of the Business and Organizational Performance

2. Has there been any change in ownership of the firm at any time during the last five years?

NOTE: A corporation whose shares are publicly traded is not required to answer this question.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

3. Is the firm a subsidiary, parent, holding company or affiliate of another construction firm?

NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

4. Are any corporate officers, partners or owners connected to any other construction firms?

NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

5. State your firm's gross revenues in dollars for each of the last three fiscal years:

Year _____	Gross Revenue _____
Year _____	Gross Revenue _____
Year _____	Gross Revenue _____

Average Gross Revenue _____

6. How many years has your organization been in business in California as a contractor under your present business name and license number? _____ years

Disqualification = Less than five years

7. Is your firm currently the debtor in a bankruptcy case?

☐ **Yes (Disqualification)** ☐ No

If "yes," please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

Firm Name: _____

8. Was your firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above)

☐ Yes (Disqualification) ☐ No

If "yes," please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court's discharge order, or of any other document that ended the case, if no discharge order was issued.

Licenses

9. List all California construction license numbers, classifications and expiration dates of the California contractor licenses held by your firm:

10. If any of your firm's license(s) are held in the name of a corporation or partnership, list below the names of the qualifying individual(s) listed on the Contractors State Licensing Board (CLSB) records who meet(s) the experience and examination requirements for each license.

11. Has your firm changed names or license number in the past five years?

☐ Yes ☐ No

If "yes," explain on a separate signed page, including the reason for the change.

12. Has any owner, partner or (for corporations) officer of your firm operated a construction firm under any other name in the last five years?

☐ Yes ☐ No

If "yes," explain on a separate signed page, including the reason for the change.

13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?

☐ Yes ☐ No

If "yes," please explain on a separate signed sheet.

Firm Name: _____

Disputes

14. At any time in the last five years has your firm been assessed and paid liquidated damages greater than \$50,000 after completion of a project under a construction contract with either a public or private owner?

☐ Yes, ≥ 3 Projects (Disqualification*) ☐ Yes, ≤ 2 Projects ☐ No

If yes, explain on a separate signed page, identifying all such projects by owner, owner's address, and the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

**Disqualification = Three (3) or more projects with liquidated damages greater than \$50,000*

15. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position.

☐ Yes (Disqualification) ☐ No

If "yes," explain on a separate signed page. State whether the firm involved was the firm applying for pre-qualification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.

16. In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?

☐ Yes (Disqualification) ☐ No

If "yes," explain on a separate signed page. Identify the year of the event, the owner, the project and the basis for the finding by the public agency.

NOTE: Questions 17 and 18 refer to disputes/claims between your firm and the owner of a project. You need not include information about disputes/claims between your firm and a supplier or another contractor. You shall include information about "pass-through" disputes/claims in which the actual dispute is between a general contractor and a project owner and involves your firm. Also, you may omit reference to all disputes/claims about amounts of less than \$50,000.

17. In the past five years has any claim **against** your firm concerning your firm's work on a construction project been **filed in court or arbitration**?

☐ Yes, ≥ 6 Projects (Disqualification*) ☐ Yes, ≤ 5 Projects ☐ No

If "yes," on separate signed sheets of paper identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

**Disqualification = Six (6) or more claims*

Firm Name: _____

18. In the past five years has your firm made any claim against a project owner concerning work on a project or payment for a contract and **filed that claim either with a public entity pursuant to Government Code sections 810 et seq., or in court or arbitration?**

☐ **Yes, \geq 6 Projects (Disqualification*)** ☐ Yes, \leq 5 Projects ☐ No

If "yes," on separate signed sheets of paper identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

****Disqualification = Six (6) or more claims***

19. OMIT QUESTION

20. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

☐ **Yes, \geq 3 Instances (Disqualification*)** ☐ Yes, \leq 2 Instances ☐ No

If "yes," explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of the refusal.

****Disqualification = Three (3) or more instances***

Criminal Matters and Related Civil Suits

21. Has your firm or any of its owners, officers or partners ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material is representation to any public agency or entity?

☐ **Yes (Disqualification)** ☐ No

If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

22. Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ **Yes (Disqualification)** ☐ No

If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the conviction and the grounds for the conviction.

23. Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ **Yes (Disqualification)** ☐ No

If "yes," identify on a separate signed page the person or persons convicted, the court (the county if a state court, the district or location of the federal court), the year and the criminal conduct.

Firm Name: _____

Bonding

24. OMIT QUESTION

25. OMIT QUESTION

C. Compliance with Occupational Safety and Health Laws and with Other Labor Legislation Safety

26. Has the California Occupational Safety and Health Administration (CAL OSHA) cited and assessed penalties against your firm for any “serious”, “willful” or “repeat” violations of its safety or health regulations in the past five years?

NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.

☐ **Yes, \geq 5 Instances (Disqualification*)** ☐ Yes, \leq 4 Instances ☐ No

If “yes,” attach a separate signed page describing the citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, the amount of penalty paid, if any. If the citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision.

**Disqualification = Five (5) or more instances*

27. Has the federal Occupational Safety and Health Administration cited and assessed penalties greater than \$5,000 against your firm in the past five years?

NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ **Yes, \geq 5 Instances (Disqualification*)** ☐ Yes, \leq 4 Instances ☐ No

If “yes,” attach a separate signed page describing each citation.

**Disqualification = Five (5) or more instances of greater than \$5,000 per occurrence*

28. Has the state or Federal Environmental Protection Agency (EPA), California Department of Fish and Wildlife (formerly Fish and Game), Army Corps, US Fish and Wildlife, or any local/regional Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the sub-contractor, in the past five years?

NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ **Yes, \geq 5 Instances (Disqualification*)** ☐ Yes, \leq 4 Instances ☐ No

If “yes,” attach a separate signed page describing each citation.

**Disqualification = Five (5) or more instances*

Firm Name: _____

29. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project? _____

Disqualification = Less than weekly

30. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:

NOTE: Your workers' compensation insurance carrier issues an EMR to your firm annually.

Current year: _____

Previous year: _____

Year prior to previous year: _____

If your EMR for any of these three years is or was 1.00 or higher you may, if you wish, attach a letter of explanation.

31. Within the last five years has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?

☐ **Yes, ≥ 2 Instances (Disqualification*)** ☐ Yes, 1 Instance ☐ No

If "yes," please explain the reason for the absence of workers' compensation insurance on a separate signed page.

If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the last five years. (If your firm has been in the construction business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in the construction business).

**Disqualification = Two (2) or more instances*

Prevailing Wage and Apprenticeship Compliance Record

32. Has there been more than one occasion during the last five years in which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the State's prevailing wage laws?

NOTE: This question refers only to your own firm's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.

☐ **Yes, ≥ 7 Instances (Disqualification*)** ☐ Yes, 6 Instances ☐ No

If "yes," attach a separate signed page or pages, describing the nature of each violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that you were required to pay.

**Disqualification = Seven (7) or more instances*

Firm Name: _____

33. During the last five years, has there been more than one occasion in which your own firm has been penalized or required to pay back wages for failure to comply with the Federal Davis-Bacon prevailing wage requirements?

☐ Yes, ≥ 7 Instances (Disqualification*) ☐ Yes, 6 Instances ☐ No

If "yes," attach a separate signed page or pages describing the nature of the violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid, the amount of back wages you were required to pay along with the amount of any penalty paid.

**Disqualification = Seven (7) or more instances*

34. Provide the **name, address and telephone number** of the apprenticeship program sponsor(s) (approved by the California Apprenticeship Council) from whom you intend to request the dispatch of apprentices to your company for use on any public work project for which you are awarded a contract by San Luis Obispo County.

**Qualification requires approved apprenticeship program listed for Question 34 or Question 35.*

35. Does your firm operate its own State-approved apprenticeship program?

☐ Yes ☐ No*

If yes, provide the following information:

- (a) Identify the craft or crafts in which your firm provided apprenticeship training in the past year.
- (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

**Qualification requires approved apprenticeship program listed for Question 34 or Question 35.*

36. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public construction projects?

☐ Yes, ≥ 7 Instances (Disqualification*) ☐ Yes, 6 Instances ☐ No

If "yes," provide the date(s) of such findings, and attach copies of the Department's final decision(s).

Disqualification = Seven (7) or more instances*

Firm Name: _____

PART IV. ORGANIZATION'S RECENT CONSTRUCTION PROJECTS

A. For Plumbing Sub-Contractors ONLY

Provide information on projects completed or currently in progress that demonstrate your organization's experience with projects of similar scope, size and complexity as the San Luis Obispo County Juvenile Hall Expansion and for which your organization provided the specialty trade for which you are applying for pre-qualification.

Demonstrate your organization's applicable experience by identifying projects completed within the last **ten (10) years** or currently in progress that meet qualifications specified in Questions IV.A.1 to IV.A.2. The same project can be used to meet the requirements in multiple questions.

Sub-contractor will be immediately disqualified if "no" is the answer to any of these questions.

1. Has your organization provided and installed plumbing for at least one (1) correctional, detention, military, justice or hospital project facility with a Plumbing sub-contract value in excess of \$400,000?

☐ Yes ☐ No (Disqualification)

Project: _____

Project: _____

2. Has your organization provided and installed plumbing for at least one (1) California public bid government project with a sub-contract value in excess of \$750,000 that required phasing and involved expanding an occupied facility?

☐ Yes ☐ No (Disqualification)

Project: _____

Project: _____

3. In the following table, provide requested information for the projects referenced above in response to Questions IV.A.1 to IV.A.2.

Project Name	Project Location (State)	Project Type (Correctional, Detention, Military, Justice, Hospital, or other)	Year Complete (or In Progress)	Value of Plumbing Sub-Contract
				\$____ M
				\$____ M
				\$____ M

4. Complete the Project Form at the end of Part IV (or replace with your own format) for the referenced projects.

Firm Name: _____

B. For Electrical Sub-Contractors ONLY

Provide information on projects completed or currently in progress that demonstrate your organization's experience with projects of similar scope, size and complexity as the San Luis Obispo County Juvenile Hall Expansion and for which your organization provided the specialty trade for which you are applying for pre-qualification.

Demonstrate your organization's applicable experience by identifying projects completed within the last **ten (10) years** or currently in progress that meet qualifications specified in Questions IV.B.1 to IV.B.2. The same project can be used to meet the requirements in multiple questions.

Sub-contractor will be immediately disqualified if "no" is the answer to any of these questions.

1. Has your organization provided and installed electrical systems for at least one (1) correctional, detention, military, justice or hospital project facility with an Electrical sub-contract value in excess of \$400,000?

☐ Yes ☐ **No (Disqualification)**

Project: _____

Project: _____

2. Has your organization provided and installed electrical systems for at least one (1) California public bid government project with a sub-contract value in excess of \$750,000 that required phasing and involved expanding an occupied facility?

☐ Yes ☐ **No (Disqualification)**

Project: _____

Project: _____

3. In the following table, provide requested information for the projects referenced above in response to Questions IV.B.1 to IV.B.2.

Project Name	Project Location (State)	Project Type (Correctional, Detention, Military, Justice, Hospital, or other)	Year Completed (or In Progress)	Value of <u>Electrical</u> Sub-Contract
				\$____ M
				\$____ M
				\$____ M

4. Complete the Project Form at the end of Part IV (or replace with your own format) for the referenced projects.

Firm Name: _____

C. For Electronic Security Sub-Contractors ONLY

Provide information on projects completed or currently in progress that demonstrate your organization's experience with projects of similar scope, size and complexity as the San Luis Obispo County Juvenile Hall Expansion and for which your organization provided the specialty trade for which you are applying for pre-qualification.

Demonstrate your organization's applicable experience by identifying projects completed within the last ten (10) years or currently in progress that meet qualifications specified in Questions IV.C.1 to IV.C.3. The same project can be used to meet the requirements in multiple questions.

Sub-contractor will be immediately disqualified if "no" is the answer to any of these questions.

1. Has your organization provided and installed low voltage – electronic security systems for at least one (1) correctional, detention, military, justice or hospital project facility with an Electrical sub-contract value in excess of \$250,000?

☐ Yes ☐ **No (Disqualification)**

Project: _____

Project: _____

2. Has your organization provided and installed low voltage – electronic security systems for at least one (1) California public bid government project with a sub-contract value in excess of \$500,000 that involved internet protocol (IP) video solutions?

☐ Yes ☐ **No (Disqualification)**

Project: _____

Project: _____

3. In the following table, provide requested information for the project(s) referenced above in response to Questions IV.C.1 to IV.C.3.

Project Name	Project Location (State)	Project Type (Correctional, Detention, Military, Justice or Hospital)	Year Completed (or In Progress)	Existing/ Renovation (Yes/No)	IP Video (Yes/No)	Value of <u>Electronic Security</u> Sub-Contract
						\$____ M
						\$____ M
						\$____ M

4. Complete the Project Form at the end of Part IV (or replace with your own format) for the referenced projects.

Firm Name: _____

D. For Mechanical Sub-Contractors ONLY

Provide information on projects completed or currently in progress that demonstrate your organization's experience with projects of similar scope, size and complexity as the San Luis Obispo County Juvenile Hall Expansion and for which your organization provided the specialty trade for which you are applying for pre-qualification.

Demonstrate your organization's applicable experience by identifying projects completed within the last ten (10) years or currently in progress that meet qualifications specified in Questions IV.D.1 to IV.D.2. The same project can be used to meet the requirements in multiple questions.

Sub-contractor will be immediately disqualified if "no" is the answer to any of these questions.

1. Has your organization provided and installed mechanical systems for at least one (1) correctional, detention, military, justice or hospital project facility with a mechanical sub-contract value in excess of \$400,000?

☐ Yes ☐ **No (Disqualification)**

Project: _____

Project: _____

2. Has your organization provided and installed mechanical systems for at least one (1) California public bid government project with a sub-contract value in excess of \$750,000 that required phasing and involved expanding an occupied facility?

☐ Yes ☐ **No (Disqualification)**

Project: _____

Project: _____

3. In the following table, provide requested information for the projects referenced above in response to Questions IV.D.1 to IV.D.2.

Project Name	Project Location (State)	Project Type (Correctional, Detention, Military, Justice or Hospital)	Year Completed (or In Progress)	Value of <u>Mechanical</u> Sub-Contract
				\$____ M
				\$____ M

4. Complete the Project Form at the end of Part IV (or replace with your own format) for the referenced projects.

Firm Name: _____

Reference Form – Project No. _____

a) Project Name: _____

b) Location: _____

c) Owner: _____

d) Owner Contact (name and current phone number): _____

e) Architect Engineer (name of firm): _____

f) Architect or Engineer contact (name and current phone number): _____

g) General Contractor (name and current phone number): _____

h) Description of Project: _____

i) Identification of Project:

☐ New Construction ☐ Renovation ☐ Structural Rehabilitation

☐ Addition ☐ Remodel ☐ Specialty Upgrade ☐ Other- Explain _____

j) Scope of Work performed: _____

k) Explain relevance to this project: _____

l) Total value of Project: \$ _____ SQ FT: _____

Firm Name: _____

Sub-Contract Specialty: _____

Contract Value: \$ _____

(If applicable) Sub-Contract Specialty: _____

Contract Value: \$ _____

(If applicable) Sub-Contract Specialty: _____

Contract Value: \$ _____

(If applicable) Sub-Contract Specialty: _____

Contract Value: \$ _____

m) Total number and total value of change orders: _____

n) Original Scheduled Completion Date: _____

o) Time Extensions Granted (number of days): _____

p) Actual Date of Completion: _____

Sub-Contractor's Team:

Position/Name: _____

Position/Name: _____

Position/Name: _____

Attachments

☐ Photos

☐ Others

NOTE: Contact information will only be used to verify information as needed.

Firm Name: _____

PART V. ORGANIZATION'S FINANCIAL STATEMENT

Name of Organization _____

1. Financial Statements and Supplemental Information

Financial pre-qualification will be established by determining capacity to perform the County of San Luis Obispo contract in the following manner:

- a. Working capital is determined from the most recent balance sheet submitted, by subtracting the current liabilities from current assets.
- b. Available lines of credit or other credit facilities are then added to the working capital, and then the sum is multiplied by ten (10).
- c. Uncompleted work on current contracts, which have been awarded to your organization (backlog), will be subtracted from the amount determined in paragraph "b" above.
- d. Any positive numbers resulting from paragraph "c" above is the maximum County contract that can be awarded to the submitting organization.

Should your organization not qualify on the basis of the above calculation, the County may consider other alternative information you can provide that, in its sole judgment, indicates clearly your ability to meet the financial requirements of the anticipated County contract. This information must include the required data described below, and sufficient supplemental analysis and description as needed to clearly present your position. This information must be submitted with your AFP. It is your responsibility to make the above described calculation and determine if additional information will be required to demonstrate your ability to perform the project.

2. Information you must submit includes:

- a. Full set of financial statements for your most recent three (3) complete fiscal years, accompanied by either an audit or review report by an independent Certified Public Accountant. ***Compiled or internally prepared financial statements will not be accepted.*** Statements, which are older than six (6) months, must be supplemented by internally prepared financial statements, which update the information to no more than six (6) months from the date of submission of the AFP. Such statements must be prepared in accordance with generally accepted accounting principles, including all required information disclosures.
- b. Letter from a financial institution in support of available lines of credit or other facilities, if you wish them to be considered in pre-qualification. See attached "General Statement of Bank Credit" for sample language; Attachment – 1A.
- c. Schedule indicating contracts, which have been awarded to you, and reconciling the original award, any amendments, completed portion and uncompleted portion of such contracts. This is your backlog of work awarded but not yet complete.

Firm Name: _____

PART V. ORGANIZATION'S FINANCIAL STATEMENT

Name of Organization: _____

3. Insurance Requirements

Each policy of insurance carried by the successful bidder for this project shall be issued by an insurance company licensed to do business in the State of California with a rating of "A" or better and a financial size category of "V" or better according to the latest edition of "Bests".

- a. Attach a statement from the Worker's Compensation carrier specifying organization's current Experience Modification rating for Worker's Compensation in the State of California.
- b. List the names of the insurance firms utilized by your organization in the last ten (10) years, with liability coverage limits per Part II of this application.

Name of Insurance Company No. 1 _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Rating: _____

Name of Insurance Company No. 2 _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Rating: _____

Name of Insurance Company No. 3 _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Rating: _____

Firm Name: _____

PART VI. ATTACHMENTS REQUIRED

Name of Organization _____

The following documents, Attachments 1 through 7, are to be filed with the County of San Luis Obispo by the Organization requesting Pre-qualification, in accordance with the Public Contract Code, for the aforementioned project.

Failure to provide all these attachments will be cause for disqualification for this project.

- **Attachment 1** – Copy of CPA's License
- **Attachment 1A** – General Statement of Bank Credit
- **Attachment 1B** – Schedule of contracts which have been awarded to you but are incomplete. This schedule should reconcile the original award, any amendments, the completed portion, and the uncompleted portions of such contracts. This is your backlog of work awarded but not yet complete.
- **Attachment 2** – OMIT ATTACHMENT
- **Attachment 3** – Notarized Statement from Worker's Compensation Insurance Carrier
- **Attachment 4** – Current Copy of Organization's California Contractor's License(s)
- **Attachment 5** – OMIT ATTACHMENT
- **Attachment 6** – Certification declaring that the applying Organization, in the last five (5) years has not been found by a judge, arbitrator, jury, or a nolo contendere plea to have submitted a false or fraudulent claim to a public agency
- **Attachment 7** – Certification declaring that the applying Organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or a safety regulation, pursuant to Public Contract Code, Section 10162

Firm Name: _____

Attachment 1 – Copy of CPA's License

Exchange this page for a Copy of CPA's License.

Firm Name: _____

Attachment 1A – General Statement of Bank Credit

Exchange this page for a General Statement of Bank Credit.

Firm Name: _____

Attachment 1B – Schedule of contracts which have been awarded to you but are incomplete.

Exchange this page for a schedule of contracts which have been awarded to you but are incomplete. This schedule should reconcile the original award, any amendments, the completed portion, and the uncompleted portions of such contracts. This is your backlog of work awarded but not yet complete.

Firm Name: _____

Attachment 2 – OMIT ATTACHMENT

Firm Name: _____

Attachment 3 – Notarized Statement from the Worker's Compensation Carrier

Exchange this page for a notarized statement from the Worker's Compensation carrier that your organization proposes to use, specifying Contractor's current Experience Modification Rating for Workers' Compensation for the State of California.

Firm Name: _____

Attachment 4 – Current Copy Organization’s California Contractor’s License(s)

Exchange this page for a current copy of your organization’s California Contractor’s License(s).

Firm Name: _____

Attachment 5 – OMIT ATTACHMENT

Firm Name: _____

Attachment 6 – False or Fraudulent Claim

Exchange this page for a certification declaring that the applying organization in the last five (5) years has not been found by a judge, arbitrator, jury, or nolo contendere plea to have submitted a false or fraudulent claim to a public agency.

Sample Declaration

I, _____, authorized agent of
(Print Name)

(Name of Organization)

I hereby certify, under penalty of perjury under the laws of the State of California, that the foregoing is true and correct. In the last five (5) years that the organization, any affiliate, parent or subsidiary company has not been found by a judge, arbitrator, jury, or nolo contendere plea to have submitted a false or fraudulent claim to a public agency.

Signed: _____

Dated: _____

Firm Name: _____

Attachment 7 – Disqualification or Removal

Exchange this page for a certification declaring that the applying organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or a safety regulation, pursuant to State of California, Public Contract Code, Section 10162.

Sample Declaration

I, _____, authorized agent of
(Print Name)

(Name of Organization)

I hereby certify, under penalty of perjury under the laws of the State of California, that the organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state or local government project because of violations of law or a safety regulation, pursuant to State of California, Public Contract Code, Section 10162.

Signed: _____

Dated: _____